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PATENT  
Attorney Docket No. EMT-001  
(120418/156868)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Li et al.  
SERIAL NO.: 09/664,226 GROUP NO.: 3624  
FILING DATE: September 18, 2000 EXAMINER: Colbert, Ella  
TITLE: AUCTION MANAGEMENT

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**FOURTH INFORMATION DISCLOSURE STATEMENT**

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with 37 C.F.R. 1.98(a)(2), only copies of the non-patent publications (C1-C7) are enclosed. The Examiner's attention is also directed to the file wrappers for pending applications nos. 10/831,969; 10/081,411; and 09/999,670 for appropriate consideration.

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed:

- ☐ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /EC/

- ☒ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Fourth Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

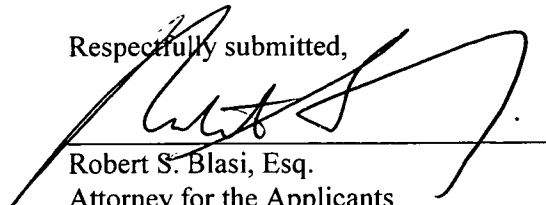
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Date: January 5, 2006  
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Respectfully submitted,



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FOURTH FORM PTO - 1449

## INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: EMT-001

APPLICANTS: Li et al.

APPLICATION NO. 09/664,226

FILING DATE: September 18, 2000

ART UNIT: 3624

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
/EC/	A10	5,615,109	03-1997	Elder, Jeff	705	8	
	A11	6,058,379	05-2000	Odom et al.	705	37	
	A12	6,631,356	10-2003	Van Horn et al.	705	26	
	A13	6,871,191	03-2005	Kinney et al.	705	37	
	A14	2001/00321170	10-2001	Sheth, Beerud D.	705	37	
	A15	2001/0049634	12-2001	Stewart, Patrick	705	26	
	A16	2002/0026429	02-2002	Lostis et al.	705	80	
	A17	2002/0103746	08-2002	Moffett, Robert P. JR.	705	37	
	A18	2002/0143692	10-2002	Heimermann et al.	705	37	
/EC/	A19	2003/0041014	02-2003	Grey et al.	705	37	

## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

EXAMINER

DATE CONSIDERED

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.		OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)
/EC/	C1	Jasmin, Lynda C. Office Action for U.S. Patent Application No. 10/081,411, mailed 6/01/2005, pp. 1-6.
/EC/	C2	Jasmiin, Lynda C. Office Action for U.S. Patent Application No. 10/081,411, mailed 11/16/2005, pp. 1-6.
/EC/	C3	Deshpande, Kalyank Office Action for U.S. Patent Application No. 09/999,670, mailed 11/22/2005, pp. 1-22.
/EC/	C4	Segev, Arie; Beam Carrie; Shanthikumar, J. George; "Optimal Design of Internet-Based Auctions", Information Technology and Management, April 2001, pp. 121-163.
/EC/	C5	Emiliani, M.L.; "Business-to Business Online Auctions: Key Issues for Purchasing Process Improvement", Supply Chain Management, 2000, pp. 1-10.



<b>FOURTH FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTORNEY DOCKET NO.: EMT-001 APPLICANTS: Li et al. APPLICATION NO. 09/664,226 FILING DATE: September 18, 2000 ART UNIT: 3624	
/EC/	C6	Ba, Sulin; Stallaert, Jan; Whiinston, Andrew; "Optimal Investment in Knowledge Within a Firm Using a Market Mechanism", Management Science, September 2001, pp.1203-1219.	
/EC/	C7	Yannis, Bakos; "The Emerging Role of Electronic Maarketplaces on the Internet", Association for Computing Machinery, August 1998, pp.35-42.	
EXAMINER		/Ella Colbert/	DATE CONSIDERED 06/23/2009

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